

03-18-02

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PTO/SB-05 (03-01)

Approved for use through 10/31/2002 OMB 0651-0032
U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No.	NUFO029
First Inventor	MCDONALD
Title	TUNABLE EXTERNAL CAVITY LASER
Express Mail Label No.	EL852432839US

(Only for new nonprovisional applications under 37 CFR 1.53(b))

APPLICATION ELEMENTS

SEE MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- ☒ Fee Transmittal Form (e.g., PTO/SB-17)
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status
See 37 CFR 1.27
- ☒ Specification [Total Pages **42**]
(Indicate amendment and form below)
-Descriptive title of the invention
-Cross Reference to Related Applications
-Statement Regarding Fed sponsored R & D
-Reference to sequence listing, a table, or a computer program listing appendix
-Background of the Invention
-Brief Summary of the Invention
-Brief Description of the Drawings (if filed)
-Detailed Description
-Claim(s)
-Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Pages **20**]
- Oath or Declaration [Total Pages **3**]
a ☒ Newly executed (original or copy)
b ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
c ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
Named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
- ☒ Application Data Sheet See 37 CFR 1.76

- ☐ CD-ROM or CD-R in duplicate large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a ☐ Computer Readable Form (CRF)
b Specification Sequence Listing on
i. ☐ CD-ROM or CD-R (2 copies), or
ii. ☐ paper
c ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & documents(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure ☐ Copies of IDS Citations Statement (IDS)/PTO-1449
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- ☐ Nonpublication Request; under 35 U.S.C. 122 (b)(2)(B)(i) Applicant must attach form PTO/SB-35 or its equivalent
- ☐ Other

18 If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No. **09/626,526**

Prior application information Examiner **E. Green** Group Art Unit **2881**

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	24358 (Insert Customer No. or Attach bar code label here)		<input type="checkbox"/> Correspondence address below	
Name	ROBERT C. HALL			
Address	BOZICEVIC, FIELD & FRANCIS LLP			
City	Menlo Park	State	California	Zip Code 94025
Country	U.S.A.	Telephone	(650) 327-3400	Fax (650) 327-3231
Name	ROBERT C. HALL		Registration No. (Attorney/Agent)	39,209
Signature	<i>Robert C. Hall</i>		Date	March 15, 2002

Burden Hour Statement: This form is estimated to take 2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

FEE TRANSMITTAL for FY 2002				Complete if Known																																																																																																																																																																																																																																																																																													
<i>Patent fees are subject to annual revision.</i>				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td style="width: 50%;">To Be Assigned</td> </tr> <tr> <td>Filing Date</td> <td>Herewith</td> </tr> <tr> <td>First Named Inventor</td> <td>McDonald et al.</td> </tr> <tr> <td>Examiner Name</td> <td>N/A</td> </tr> <tr> <td>Group Art Unit</td> <td>N/A</td> </tr> <tr> <td>Attorney Docket No.</td> <td>NUFO-029</td> </tr> </table>				Application Number	To Be Assigned	Filing Date	Herewith	First Named Inventor	McDonald et al.	Examiner Name	N/A	Group Art Unit	N/A	Attorney Docket No.	NUFO-029																																																																																																																																																																																																																																																																														
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<div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit overpayments to: Deposit Account Number: 50-0815 Deposit Account Name: Bozicevic, Field & Francis LLP <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant Claims small entity status See 37 CFR 1.27</p> <p>2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p> <p style="text-align: center;">FEE CALCULATION</p> <p>2. 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142	1,280	242	640	Utility issue fee (or reissue)																																																																																																																																																																																																																																																																																													
143	460	243	230	Design issue fee																																																																																																																																																																																																																																																																																													
144	620	244	310	Plant issue fee																																																																																																																																																																																																																																																																																													
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																																																																																																																													
123	50	123	50	Processing fee under 37 CFR 1.17(q)																																																																																																																																																																																																																																																																																													
126	180	126	180	Submission of Information Disclosure Stmt																																																																																																																																																																																																																																																																																													
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00																																																																																																																																																																																																																																																																																												
146	740	246	370	For each additional invention to be examined (37 CFR § 1.129(a))																																																																																																																																																																																																																																																																																													
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																																																																																																																																													
179	740	279	370	Request for Continued Examination (RCE)																																																																																																																																																																																																																																																																																													
169	900	169	900	Request for expedited examination of a design application																																																																																																																																																																																																																																																																																													
Other fee (specify) _____																																																																																																																																																																																																																																																																																																	
SUBTOTAL (3) (\$)					40.00																																																																																																																																																																																																																																																																																												

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	ROBERT C. HALL	Registration No. (Attorney/Agent)	39,209
Signature		Telephone	(650) 327-3400
		Date	03/15/2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.